

# **Corporate Human Resources Information System Configuration Control Charter and Procedures**

October 12, 1999

## **I. AUTHORITY**

The authority of the Corporate Human Resource Information System (CHRIS) Project Manager to establish configuration control procedures and policies for the CHRIS project is derived from Chief Information Officer (CIO) for the US Department of Energy (DOE).

## **II. SCOPE**

The Configuration Control Board (CCB) is established to provide guidance and oversight of the configuration and change control processes for the systems included in the CHRIS project. These systems include Human Resource Management System (HRMS)/Benefits, Employee Self Service (ESS), Payroll, Time and Labor, Backup and Recovery, Training Administration and other HR functions that will be implemented in CHRIS.

## **III. PURPOSE**

The purpose of the CCB is to provide a central internal vehicle to review, approve/disapprove, prioritize, and manage production system customizations or modifications in an organized and timely manner. The goals of this effort are to limit production software changes and effectively manage the impact of those changes on project schedules, costs, and existing and planned information systems. The primary role of the CCB is to maintain the integrity of the CHRIS system throughout its life cycle and facilitate communication about the system among team members, end-users, and other supporting organizations.

## **IV. BACKGROUND**

Prior to implementation of CHRIS, the CHRIS Steering Committee approved the concept of a formal customization control process for reviewing and approving proposed changes to CHRIS. A formal definition was developed of what constitutes a system modification so that the Project Team's Customization Control Board could determine the types of decisions that need to be approved by the CHRIS Board of Directors and the types of decisions can be made directly by the Customization Control Board. This is a moving threshold as the Customization Control Board becomes experienced with the nature of the requests and the operation of the customization control procedures.

## V. MEMBERSHIP

Project Manager  
HR/Benefits Team Leader  
Payroll/Time and Labor Team Leader  
Technical Team Leader  
HR Functional Lead  
Benefits Functional Lead  
Training Administration Functional Lead  
Payroll Functional Lead  
Time & Labor Functional Lead  
PeopleSoft Technical Subject Matter Expert  
Database Administrator \*  
Infrastructure Architect \*

\* as required

## VI. MEETINGS

The CCB will meet at regularly scheduled times, no less than monthly. Special meetings shall be convened as needed, for urgent requests or issues.

## VII. CHANGE CONTROL PROCESS

Change Control is the overall process for management of the preparation, justification, evaluation, coordination, and implementation of proposed changes to the CHRIS system. Change Control begins after software products are migrated into the production environment. The following process shall be utilized for submitting proposed system changes and determining approval/disapproval of those changes:

### **System Modification Identification**

- 1) Person or office initiating the proposed change will submit the CHRIS System Modification Request (SMR) form (see attached) to the appropriate CHRIS Point of Contact (POC) for that office. The business need must be identified on the SMR.
- 2) The CHRIS POC will then refer the SMR to the appropriate Team Leader.
- 3) The Team Leader must review the SMR and obtain any necessary input from technical or functional CHRIS staff. If the Team Leader concurs with the need for the change, they will sign and forward the SMR with any supporting documentation to the CCB for consideration at the next board meeting. If the Team Leader does not concur with the need for the change, they will indicate the reason for disapproval on the SMR and return the request to the CHRIS POC who originally submitted it.

## System Modification Evaluation

- 4) A CCB meeting agenda will be prepared and include each SMR submitted since the last CCB meeting.
- 5) The CCB will review and analyze each submitted request. The appropriate functional lead (HR, Benefits, Payroll, Time & Labor, or Training Administration) will assure that other members of the CCB understand the functional requirements of the proposed change. The CCB will evaluate the technical alternatives and possible system ramifications of the proposed change.
- 6) A formal decision will be made by the CCB. Decisions may include approval, denial, or approved with modifications. ROI, legislation, business need, visibility, costs, technical complexity, and impact on future upgrades should be considered before SMR approval is granted by the CCB. Any SMR that are disapproved must include reasons for disapproval. If needed, an SMR can be approved with stipulations (i.e., additional requirements imposed by the CCB). An SMR can also be deferred if more information is needed or if there are indications that the circumstances creating the need for the SMR are changing (i.e., future software releases address the SMR). If the SMR is approved, the CCB will assign an implementation priority to the SMR.

## System Modification Priority Assessment

- 7) When a change is requested, the CCB will need to assign a priority designation to the SMR selecting high, medium, or low.
  - **High** priority modifications are items that are critical to production processing, and must be completed as soon as possible. They are often Federally mandated and based on a change in regulation or statute or required to correct a software failure or system halt in the production environment.
  - **Medium** priority modifications are items that may be highly visible to external entities or may affect the technical integrity of the software but does not halt production.
  - **Low** priority modifications are neither production critical or highly visible. Generally these changes are considered system enhancements or may be specific to a local organization within DOE.

<b>High</b> <i>Production Critical</i>	<b>Medium</b> <i>High Visibility</i>	<b>Low</b> <i>System Enhancement</i>
OPM mandated changes (e.g., 1999 FEGLI changes)	Implementing additional work flow functionality (e.g.,	Increasing the length of a field for future use

<b>High Production Critical</b>	<b>Medium High Visibility</b>	<b>Low System Enhancement</b>
	work-in-progress)	
System changes required as the result of new legislation (e.g., adding additional TSP funds)	On-line edits to insure data integrity (e.g., CPDF processing)	Changing the position of a field on a panel
Correcting a production software failure having no available alternate process or manual work-around	Implementing an automated solution to a previously defined manual work-around	Changing default values
	Unanticipated business needs for specific production functionality (e.g. retention register)	

Normal PeopleSoft maintenance that utilizes the application software rather than requiring the use of PeopleTools (Application Designer) are not considered modifications requiring approval from the CCB. Examples of changes not requiring CCB approval include:

- adding (or inactivating) translate table values in existing validation tables,
- adding new effective dated rows to system definition "setup" tables, and
- creating and modifying queries using PS-Query.

- 8) The CCB will also estimate the technical level of effort and establish a time frame for completion

### **System Modification Disposition**

- 9) An appropriate response communicating the outcome of the decision-making process will then be made to the individual who submitted the SMR.
  - If the SMR is disapproved, the CCB decision and supporting reasons are included on the SMR form and the package is returned to the CHRIS POC.
  - If the SMR is approved, the SMR is forwarded to the CHRIS project office where it is assigned a modification number and is given to the CHRIS project team for design, development, testing, and implementation. The approval of the SMR is communicated to the originator of the request.

## VIII. CRITERIA

The establishment of assessment criteria will permit the CCB to evaluate customization requests from a business need aspect while at the same time address their feasibility, cost, and timeliness, and, if necessary, make recommendations to the Executive Board. In evaluating a proposed system change, the CCB members shall consider the following criteria in reaching a decision:

- The production criticality of the proposed change (High, Medium, or Low)
- A **business assessment** which will focus primarily on the cultural changes required by the proposed change and should take into consideration existing reengineering efforts currently being undertaken as well as any applicable business case analyses. Included in this assessment will be a synopsis of the proposed change, the business need for the change (regulatory, agency or local policy, bargaining unit agreement, or local need), the customer requirements and expectations, and any time sensitivities. Additionally, this assessment should include an analysis of the implications of approving or not approving this change on both local operations and on other DOE operations as well as any internal re-engineering efforts. This analysis should consider the affect, if any, on collateral systems, current development activities and future PeopleSoft application upgrades.
- A **technical assessment** which will focus primarily on the technical implications of the proposed change. It should take into consideration the impact on current and future operations, project priorities, long-range CHRIS strategy, and the impact on future PeopleSoft application upgrades. The following type of information will need to be provided by the IM POC or database administrator or CHRIS Corporate Staff:
  - ⇒ the technical impact of the proposed change on the system
  - ⇒ cost estimates for implementing the change (including staff hours)
  - ⇒ any approved implementation schedules (would it be better to wait for the next PS release and will this change be in that release?)
  - ⇒ any impact this change would have administration-wide
  - ⇒ the impact of this change on upgrades, future releases and system functionality
- The impact of the proposed change on the system (High, Medium or Low). Changes that have a Medium or Low impact on the project will be resolved by the CCB. Changes that will have a High impact on the system will be referred to the Executive Board for approval.

## IX. DOCUMENTATION

The CCB shall develop and maintain the following documents for use and reference:

- 1) A comprehensive policy to manage configuration changes
- 2) A standard System Modification Request form
- 3) Submitted modification requests, along with the determination and the reasons for the results and reasons for the results of the modification requests.
- 4) A list of approved changes, implemented changes, original and actual time estimates for producing the approved changes, responsibility for producing and testing the change.